

BEST AVAILABLE COPY

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Phan, et al.)
Appl. No.:	10/086,941	
Filed:	February 26, 2002	{ COPY
For:	METHODS FOR DNA CONJUGATION ONTO SOLID PHASE INCLUDING RELATED OPTICAL BIODISCS AND DISC DRIVE SYSTEMS)))))
Examiner:	Frank W. Lu)
Group Art Unit:	1634) .)

PETITION UNDER 37 C.F.R. § 1.183 REQUESTING A WAIVER OF 37 C.F.R. § 1.67

Mail Stop Petition

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action mailed March 25, 2005, Applicants hereby petition under the provisions of 37 C.F.R. § 1.183, that the Commissioner waive the requirements of 37 C.F.R. § 1.67 and accept for filing and examine the above-identified patent application despite the fact that the Oath/Declaration filed on July 5, 2002, includes a non-initialed, non-dated alteration of inventor KaYuen Yeung's address. Applicants have been unable to secure another oath/declaration from KaYuen Yeung despite diligent efforts. In support for this petition, Applicants provide the following:

Appl. No.:

10/086,941

Filed:

February 26, 2002

DECLARATION OF INVENTORSHIP

When the instant Application was filed on February 26, 2002, a Declaration of Inventorship was also filed that was executed by three of the four inventors, Brigitte Chau Phan, Jorma Ante Virtanen, and Amethyst Hoang Lam. On April 5, 2002, a Notice of Missing Parts was mailed indicating that a filing fee and Declaration needed to be filed in the above captioned Application. In response, another Declaration of Inventorship was submitted on July 5, 2002, which was executed by KaYuen Yeung (the inventor who had not signed the original Declaration submitted on February 26, 2002).

In an Office Action mailed on March 25, 2005, the Examiner noted that the July 5, 2002, Declaration of Inventorship was defective because the original typed address of inventor KaYuen Yeung had been lined-out and replaced with a handwritten address. This change had not been initialed or dated. As such, the Examiner requested that a new Declaration of Inventorship be provided.

Despite diligent efforts outlined in the attached Declaration of Jerry L. Hefner, Applicants have been unable to secure a replacement Declaration of Inventorship from KaYuen Yeung. Applicants therefore respectfully submit that the Declarations of Inventorship filed on February 26, 2002 and July 5, 2002, which include unaltered signatures of three of the four inventors, Brigitte Chau Phan, Jorme Ante Virtenen, and Amethyst Hoang Lam, and a handwritten replacement address for KaYuen Yeung satisfy the requirement of 37 C.F.R. §§ 1.63 and 1.67.

STATEMENTS OF FACTS

Applicant provides the following Declaration, attached herewith, in support of its conclusion that KaYuen Yeung refuses to sign and/or cannot be reached:

1. Declaration of Jerry L. Hefner in Support of Petition under 37 C.F.R. § 1.183 seeking a waiver of 37 C.F.R. § 1.67.

The Declaration shows the efforts of Applicants to contact KaYuen Yeung by certified U.S. Mail and Express Mail to obtain her cooperation. Despite these diligent efforts, Applicants have been unable to contact KaYuen Yeung or obtain an unaltered Declaration of Inventorship from her.

Appl. No.:

10/086,941

Filed:

February 26, 2002

LAST KNOWN ADDRESS OF THE NONSIGNING INVENTORS

The last known address for KaYuen Yeung is: 1326 Third Avenue, San Francisco, CA

94122. KaYuen Yeung is a United States citizen.

CONCLUSION

Based on the foregoing, it is submitted that diligent efforts has been made to obtain an

unaltered Declaration of Inventorship from KaYuen Yeung. Despite these diligent efforts,

Applicants have not been able to obtain another declaration from KaYuen Yeung. Applicants

respectfully submit that the Declarations of Inventorship submitted on February 26, 2002 and

July 5, 2002, satisfy the requirement that all available joint inventors (i) make oath or declaration

on their own behalf as required by 37 C.F.R. § 1.63 and (ii) request waiver of 37 C.F.R. § 1.67

requiring that a Supplemental Declaration of Inventorship be provided.

Applicants respectfully request that this petition under 37 C.F.R. §1.183 be granted and

that the Applicants be allowed to file and prosecute the above-identified patent application

without an unaltered oath/declaration from KaYuen Yeung. If there are any obstacles to a

prompt approval of this petition, the Patent and Trademark Office is invited to call the

undersigned attorney.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: August 25, 2005

By:

Régistration No. 53,009

Attorney of Record

Customer No. 20,995

(619) 235-8550

1863664 081105

-3-





DECLARATION IN SUPPORT OF PETITION UNDER 37 CFR 1.183 REQUESTING A WAIVER OF 37 C.F.R. § 1.167

I, Jerry L. Hefner, hereby declare that, to the best of my knowledge, information, and belief, the following is true, accurate, and correct:

- I am an associate attorney at Knobbe, Martens, Olson & Bear, LLP ("KMOB") and help coordinate prosecution of patent matters assigned to our client, Nagaoka and Co., LTD ("Nagaoka").
- 2) On November 4, 2003, Burstein Technologies, Inc. ("BTI") sold an undivided partial ownership interest in all intellectual property matters to Nagaoka. Prior to November 4, 2003, BTI terminated all employees.
- 3) On February 26, 2002, a patent application was filed on behalf of BTI, entitled "Methods for DNA conjugation onto solid phase including related optical biodiscs and disc drive systems." This application claims priority to provisional applications and is subject to the November 4, 2003 assignment from BTI to Nagaoka. Accordingly, the listed inventors were previous employees of BTI.
- 4) This application was assigned Application Number 10/086,941 ("the '941' application") by the U.S. Patent and Trademark Office.
- 5) Filed concurrently with the patent application on February 26, 2002, was a Declaration of Inventorship executed by three of the four inventors, Brigitte Chau Phan, Jorma Antero Virtanen, and Amethyst Hoang Lam. The fourth inventor, KaYuen Yeung, did not sign the declaration.
- 6) The U.S. Patent and Trademark Office mailed a Notice To File Missing Parts Of Nonprovisional Application on April 5, 2002, indicating that the signature of the fourth inventor was missing from the declaration. The missing parts notice set a two month initial deadline for submitting the missing declaration. Thus, the initial deadline for filing these documents was June 05, 2002.
- A Response to the Notice to File Missing Parts was filed on July 5, 2002, including a Declaration of Inventorship signed by the fourth inventor, KaYuen Yeung, and also the first inventor, Brigitte Chau Phan, who had also previously signed the February 26, 2002

Diligent Efforts Attempting to Secure an Unaltered Declaration of Inventorship from KaYuen Yeung

Declaration of Inventorship. The residence address for Ms. Yeung that was provided on the original Declaration of Inventorship was lined-out and replaced with a hand written address. This change was not initialed or dated by Ms. Yeung.

- 8) An Office Action was mailed on March 25, 2005, wherein the Examiner informed Applicants that the Oath/Declaration filed on July 5, 2002, was defective because there was a non-initialed, non-dated alteration to the address of inventor KaYuen Yeung.
- 9) After receiving the March 25, 2005, Office Action, I attempted to contact KaYuen Yeung to secure an unaltered Declaration of Inventorship for the '941 application. As outlined below, however, despite diligent efforts I was unable to secure an unaltered, executed declaration from KaYuen Yeung.
- 10) On or about July 11, 2005, I prepared a letter addressed to KaYuen Yeung, which explained that the filing of US Patent Application No. 10/086,941 would be incomplete unless she signed and returned to us the Declaration of Inventorship that was enclosed with the letter. The letter stated that if Ms. Yeung did not return the Declaration of Inventorship by August 12, 2005 or at least attempt to contact me by phone, fax, email or mail, that the non-response would be treated as her refusal to cooperate in the Declaration of the patent application. The letter is attached as Exhibit A.
- On July 11, 2005, the letter described in item 10, a Declaration of Inventorship and a complete copy of the patent application, which included the specification, claims and drawings, was sent together via U.S. Certified Mail to Ms. Yeung's address at 1326 Third Avenue, San Francisco, CA 94122 (Exhibit B). The U.S. Postal Service tracking results (attached hereto as Exhibit C), which were obtained on August 23, 2005, show that the delivery of this mailing was attempted but unsuccessful. These results also indicate that a notice regarding the attempted delivery was left at the residence. Currently, this mailing remains at the Post Office in San Francisco.
- On or about July 11, 2005, a duplicate mailing containing the letter described in item 10, a Declaration of Inventorship and a complete copy of the patent application was sent by Federal Express to the above address (Exhibit D). The Federal Express tracking results (attached hereto as Exhibit E) show that the duplicate mailing was delivered on July 12, 2005.

Diligent Efforts Attempting to Secure an Unaltered Declaration of Inventorship from KaYuen Yeung

- Previous to the mailings described in items 10, 11 and 12, I made numerous attempts to contact KaYuen Yeung in order to request that she execute a Declaration of Inventorship in connection with another patent application (U.S. Patent Application No. 10/087,549) that had been filed on behalf of BTI and assigned to Nagaoka as stated in item 2. Because none of the above-mentioned attempts were successful, on October 27, 2004, I filed a petition under Rule 1.47(a) requesting a waiver of the requirement that Ms. Yeung execute a Declaration of Inventorship in connection with U.S. Patent Application No. 10/087,549. This petition was treated as a petition under 37 C.F.R. § 1.183 and granted (Exhibit F).
- 14) Although it has been more than 40 days since the mailings described in items 11 and 12, I have not received a response from Ms. Yeung.

Signature:

Date:

Jerry L. Hefner

August 25, 2005

1863548:081105

Knobbe Martens Ol n & Bear LLP

Intellectual Property Law

550 West C Street Suite 1200 San Diego CA 92101 Tel 619-235-8550 Fax 619-235-0176 www.kmob.com

Jerry L. Hefner, Ph.D. jhefner@kmob.com

July 11, 2005 <u>VIA FEDERAL EXPRESS AND CERTIFIED MAIL</u>

KaYuen Yeung 1326 Third Ave. San Francisco, CA 94122

Re:

U.S. Patent Application

Title: METHODS FOR DNA CONJUGATION ONTO SOLID PHASE INCLUDING RELATED OPTICAL BIODISCS AND DISC DRIVE SYSTEMS

Application No.: 10/086,941 Filed: February 26, 2002

Our Reference: NAGACO.021CP

Dear Ms. Yeung:

Our firm, Knobbe, Martens, Olson & Bear, LLP, is currently handling the prosecution of several U.S. Patent Applications for Nagaoka & Co. Ltd. You are listed as an inventor on an application entitled "METHODS FOR DNA CONJUGATION ONTO SOLID PHASE INCLUDING RELATED OPTICAL BIODISCS AND DISC DRIVE SYSTEMS" which was filed in the U.S. Patent Office on February 26, 2002. Enclosed herewith is a copy of the application, including the specification, claims and drawings, for your review.

The U.S. Patent and Trademark Office (USPTO) has notified us that the Supplemental Declaration of Inventorship that you signed on June 29, 2002 is not acceptable in view of the uninitialed, handwritten change of address that was made at the time of signing. Unfortunately, the USPTO is now requiring that we file a replacement Declaration of Inventorship containing an updated address. As such, we ask that you please sign the copy of the replacement Declaration of Inventorship that we are enclosing herewith.

In order to keep this patent application pending, it is critical that we meet certain deadlines for filing the replacement Declaration of Inventorship. Accordingly, we would greatly appreciate your prompt action in this matter. If the replacement Declaration is accurate, please sign and return the signed document to me via facsimile at 619-235-0176. If this document is in error, please contact me by E-mail (at the above-indicated address) or by telephone at 619-235-8550 prior to <u>August 12, 2005</u>, so that we may discuss the most expedient method for providing you with correct copies of these documents for your signature.

EXHIBIT A

Knobbe Martens Olson & Bear LL

KaYuen Yeung July 11, 2005 Page -2-

Given the urgency of this situation, IF YOU DO NOT RESPOND TO THIS LETTER BY AUGUST 12, 2005, YOUR NON-RESPONSE WILL INDICATE THAT YOU REFUSE TO SIGN THE DECLARATION OF INVENTORSHIP PROVIDED HEREWITH AND THAT YOU REFUSE TO COOPERATE IN THE PROSECUTION OF THIS PATENT APPLICATION.

We look forward to hearing back from you soon.

Sincerely,

Jerry L. Hefner

Enclosures

1807910 071105

COMPLETE THIS SECTION ON DELIVERY D, is delivery address different from item 1? if YES, enter delivery address below: Express Mail Knobbe Martens Oison & Bear up NAGACO.021CP HIP 0002 8444 9697 B. Received by (Printed Name) 550 Wost & Street, Suite 1200, San Diego, CA 92101 CERTIFIEDIMAII Service Type: intellectual Property Law A. Signature のでは、 できる のでのなる できる できる できる ないのかい × 94122 7004 0750 San Francisco, CA. Attach this card to the back of the maliplece, or on the front if space permits. Print your name and address on the reverse ■ Complete items 1, 2, and 3, Also complete 1326 Third Avenue San Francisco, CA tem 4 if Restricted Delivery is desired. SENDER: COMPLETE THIS SECTION so that we can return the card to you. Ka Yuen Yeung Ka Yuen Yeuna 3 Serving A From: 1. Article Addressed to: 70; Postal Service RECEIPT MAIL No Insurance Coverage Provided) Postage Certified Fee **Postmark** Here Return Reciept Fee (Endorsement Required) Restricted Delivery Fee (Endorsement Required) VAGACO.021CP

Certified Mail
Registered
Insured Mail

☐ Agent ☐ Addressee C. Date of Delivery

> NAGACO. OZICP TH 2. Article Nun

☐ Return Receipt for Merchandise

0.0.D

4. Restricted Delivery? (Extra Fee)

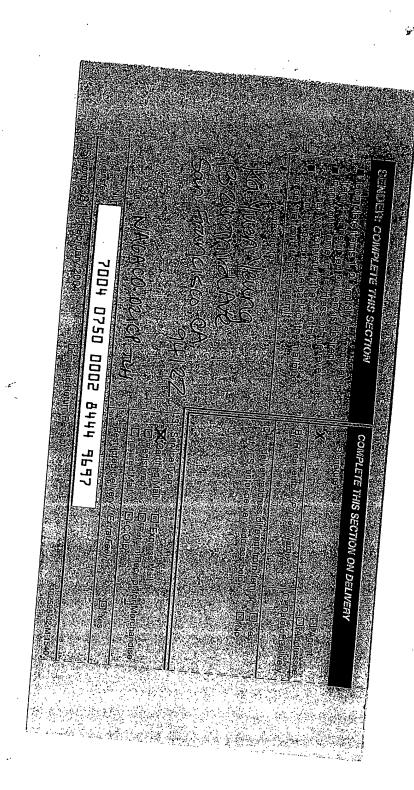
9697 7004 0750 0002 8444 PS Form 3811, February 2004

(Transfer frt.

Domestic Return Receipt

102595-02-M-1540

EXHIBIT B





Home | Help

Track & Confirm

Track & Confirm

Search Results

Label/Receipt Number: 7004 0750 0002 8444 9697

TO A THE PROPERTY OF A STATE OF THE PROPERTY OF THE PARTY OF THE PARTY

Status: Notice Left

We attempted to deliver your item at 11:22 am on July 13, 2005 in SAN FRANCISCO, CA 94122 and a notice was left. It can be redelivered or picked up at the Post Office. If the item is unclaimed, it will be returned to the sender. No further information is available for this item.

Track & Confirm

Enter Label/Receipt Number.

Notification Options

Track & Confirm by email

Get current event information or updates for your item sent to you or others by email. (60>)





site map contact us government services jobs National & Premier Accounts Copyright © 1999-2004 USPS. All Rights Reserved. Terms of Use Privacy Policy

SCEX. USA Airbill feets 87 4 5079 4911	
Express Number U. 1 JUl 1 1 1 1 1 1 1	Sender's Copy
Sender's FedEx Account Number 1241-6073-1	4a Express Package Service Packages up to 150 lbs. Defivery commitment may be later in some areas. FedEx Priority Overnight Next business morning FedEx Standard Overnight Next business morning Larliest next business morning deflowing to select locations
Terry Hener Phone (619) 235-8550	FedEx 2Day Second business day FedEx Express Saver FedEx Envelope rate not evaliable. Minimum charge: One-pound rate
mpany KNOBBE MARTENS OLSON & BEAR	4b Express Freight Service Packages over 150 lbs. Delivery commitment may be later in some stress.
Idress 550 W C ST STE 1200	FedEx 1Day Freight* Next business day * Call for Confirmation: FedEx 3Day Freight FedEx 3Day Freight Third business day
CAN DITOR	5 Packaging *Occlared value time \$500
wr Internal Billing Reference	FedEx Envelope* FedEx Pak* Other
cipient's Ka Yuen Yeung Phone ()	Special Handling SATURDAY Defivery Available ONLY for Fedex Privaty Overnight and Fedex Location NOT Available for Fedex Experiment Contain dangerous goods? The Contain Special Private Contain dangerous goods? Include Fedex address in Section 3. HOLD Weekday at Fedex Location NOT Available for Fedex Fedex Contain Available Only for Fedex Fronty Overnight and Fedex 2Day to select locations One box must be checked.
dress	No Separation State of the Careton Shaper's Declaration Shaper's Declara
trous 324 Mird Ale. We cannot deliver to P.O. boxes or P.O. ZIP codes.	Sender Recipient Third Party Credit Card Card Card Card Card Card Card Card
SPA Francisco State CA. ZIP 94127	Fedia Act. No. Exp. Credit Card No. Date Total Packages Total Weight Total Declared Value [†]
Try online shipping at fedex.com,	\$.00
By using this Airbill you agree to the service conditions on the back of this Airbill and in our current Service Guide, including terms that limit our liability.	10ur liability is limited to \$100 unless you declare a higher value. See back for details. Release Signature Sign to euthorize delivery without obtaining signature.
Questions? Visit our Web site at fedex.com or call 1.800.Go.FedEx® 800.463.3339.	By signing you authorize us to deliver this shipment without obtaining a signature and agree to indemnify and hold us harmless from any resulting claims. SRF-Rev. Data 10/01-Pert #157610S-001994-2001 FedSa-PRIVITED IN U.S.A.

Site Map

CO

United States Home

J			
	Information Center	Customer Support	ı

Search Package/Envelope Services Office / Print Services Freight Services **Expedited Services** Ship Track Manage My Account International Tools

Track Shipments **Detailed Results** Printable Version (?) Quick Help

Priority Envelope

You can also track:

By TCN

FedEx Trade Networks shipments

By Email Track

By FedEx Wireless Solutions

Tracking number Signed for by Ship date

832450794911

Service type Signature release on file

Location

SOUTH SAN

SOUTH SAN

FRANCISCO, CA

FRANCISCO, CA

OAKLAND, CA

SAN DIEGO, CA

SAN DIEGO, CA

Jul 11, 2005

Jul 12, 2005 9:15 AM

Status

Date/Time

Jul 12, 2005

Jul 11, 2005

Conditions

Delivery date

Delivered

Activity

Delivered

for delivery

facility

location

Left origin

Picked up

At local FedEx

Departed FedEx

Signature proof

On FedEx vehicle

. 9:15 AM

8:13 AM

8:06 AM

6:37 AM

7:21 PM

5:13 PM

Details

Left at front door. No signature required - release waiver on file Wrong Address? Reduce future mistakes by using FedEx Address Checker.

Shipping Freight? FedEx has LTL, air freight, surface and air expedited freight, multi piece package deliveries,

and ocean freight.

Email results

Subscribe to	tracking	undates	(Agnitonal)	

Your Name:		Your Email Addres	Your Email Address:		
Email address	Language		Exception updates	Delivery updates	
	English	S	□ □		
	English	됳	I		
	English	5			
	English	\\$\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\			
Select format: HT Add personal messa Not available for Wirel non-English character	ge:	eless			

EXHIBIT E

Submit.

Global Home | Service Info | About FedEx | Investor Relations | Careers | fedex.com Terms of Use | Privacy Policy

By selecting this check box and the Submit button, I agree to these <u>Terms and</u>

http://www.fedex.com/Tracking?ascend header=1&clienttyne=dotcom&cntry_code=us&language====1:-

0/0/000

This site is protected by copyright and tradema. Jaws under US and International law. All rights research. © 1995-2005 FedEx







Telephone: 901-369-3600

08/02/2005

Dear Customer:

The following is the proof of delivery you requested with the tracking number 832450794911.

Delivery Information:

Status:

Delivered

Delivery date:

Jul 12, 2005 09:15

Signed for by:

Signature release on file

Service type:

Priority Envelope

NO SIGNATURE IS AVAILABLE

FedEx Express Proof of delivery details appear below, however no signature is currently available for this FedEx Express shipment. Availability of signature images may take up to 5 days after delivery date.

Shipping Information:

Tracking number:

832450794911

Ship date:

Jul 11, 2005

Recipient:

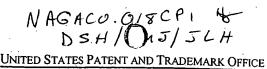
US

Shipper:

SAN US

Thank you for choosing FedEx Express.

FedEx Worldwide Customer Service 1.800.GoFedEx 1.800.463.3339





Commissioner for Patent United States Patent and Trademark Office

KNOBBE MARTENS OLSON & BEAR LLP 2040 MAIN STREET FOURTEENTH FLOOR **IRVINE CA 92614**

COPY MAILED

MAY **0 4** 2005

In re Application of Brigitte Chau Phan et al. Application No. 10/087 549 OFFICE OF PETITIONS

Filed: February 28, 2002

ON PETITION

Attorney Docket No: BT12 00102703(USP3)

USP8

This is a decision on the petition under 37 CFR 1.47(a) filed November 1, 2004, which is being treated as a petition under 37 CFR 1.183 seeking waiver of 37 CFR §§ 1.67 and 1.63 where they require that a supplemental declaration be executed by the named inventor.1

The petition is GRANTED.

In view of the efforts recounted in the petition to obtain the signature of KaYuen Yeung, it is agreed that justice would be served by waiving the requirement for her signature on the supplemental declaration filed November 1, 2004.

The aforementioned supplemental declaration has been accepted, on petition, and placed in the file.

This matter is being referred to Technology Center 1634.

Telephone inquiries related to this decision should be directed to the undersigned Petitions Attorney at (571) 272-3212.

Patricia Faison-Ball Senior Petitions Attorney Office of Petitions

EXHIBIT F

¹ Once an application has received a fully executed oath or declaration and been placed on the files for examination, the provisions of 37 CFR 1.47 no longer apply. Rather, the remedy for treating an inventor's refusal to also sign a supplemental oath or declaration is waiver of 37 CFR 1.67. See MPEP 603.

This Page is Inserted by IFW Indexing and Scanning Operations and is not part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

☐ BLACK BORDERS
☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
☐ FADED TEXT OR DRAWING
☐ BLURRED OR ILLEGIBLE TEXT OR DRAWING
☐ SKEWED/SLANTED IMAGES
☐ COLOR OR BLACK AND WHITE PHOTOGRAPHS
☐ GRAY SCALE DOCUMENTS
☐ LINES OR MARKS ON ORIGINAL DOCUMENT
☐ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY

IMAGES ARE BEST AVAILABLE COPY.

☐ OTHER:

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.